

# **Tennessee Valley Exhibit Commission**

## **Functional Analysis & Records Disposition Authority**

**Presented to the  
State Records Commission  
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# Functional and Organizational Analysis of the Tennessee Valley Exhibit Commission

## Sources of Information

Representatives of the Tennessee Valley Exhibit Commission  
Code of Alabama 1975, Section 41-9-780 through 41-9-786  
Code of Alabama 1975, Section 41-20-1 through 41-20-16 (Sunset Law)  
Audit Report of the Tennessee Valley Exhibit Commission  
Alabama Government Manual (1998)

## Historical Context

The Tennessee Valley Authority Exhibit Commission was created in 1984 by the Alabama Legislature to provide a site for exhibits relating to the Tennessee Valley through the construction of permanent housing for an exhibit in the vicinity of Muscle Shoals, Alabama. The next year the name of the commission was changed to the Tennessee Valley Exhibit Commission. The construction of the building began in 1989 and was completed in 1991.

## Agency Organization

The commission consists of five members appointed by the governor, all of whom must be residents of the Shoals area of north Alabama. The commission is authorized to provide for an executive committee of not fewer than three of its members to whom it may delegate such authority as it deems advisable. The first commission chairman was appointed by the governor, thereafter the chairman is selected by the membership of the commission. The commission members serve without compensation at the discretion of the governor. The commission may employ an executive director and any additional personnel that it deems necessary to carry out its duties. Commission personnel are not subject to the provisions of the state Merit System Act. An organizational chart is attached.

## Agency Function and Subfunctions

The mandated function of the Tennessee Valley Exhibit Commission is to provide for and participate in the management and control of facilities to house and display visual exhibits related to the Tennessee Valley. The commission is one of the agencies responsible for the Stewardship function of Alabama government. In the performance of its mandated function, the commission may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Code of Alabama 1975, Section 41-9-782 (12), authorizes the commission to make any such rules and regulations the commission deems necessary to provide for the operation, management and control of the facility.

- **Creating Exhibits.** The Code of Alabama 1975, Sections 41-9-780 and 41-9-784 authorizes the commission to create, maintain, and provide for visual exhibits of energy related hardware and technology, navigational river and tributary development practices, agriculture technology and innovations, wildlife and environmental practices and protections, and historical achievements and mementos of the Tennessee Valley Authority.

Currently, the commission operates an aquarium and nature center showcasing wildlife of the Tennessee River Valley area and other exotic wildlife. The commission is in the process of redesigning the nature center to emphasize an expanded educational focus. Activities will include more interpretive information about the exhibits, school tours of the center, and an increased presence in the local community. A gift shop helps support and promote the nature center, the activities of the commission, and tourism in the local community.

- **Establishing a Site.** The Code of Alabama 1975, Sections 41-9-780 and 41-9-782, authorizes the commission to investigate and select an available site in the vicinity of the Muscle Shoals area, and to establish, improve, and enlarge a facility for housing exhibits.
- **Issuing Bonds.** The Code of Alabama 1975, Sections 41-9-782 (5) and 41-9-783, authorizes the commission to issue bonds to cover the cost of establishing, constructing, and maintaining the building and the site. The principal and interest on these bonds are payable from the revenue derived from the project and any other outside sources. Bonds were issued in 1988 and 1990 and refinanced in 1992.
- **Administering Internal Operations.** A significant portion of the commission's work includes general administrative, financial and personnel activities performed to support the programmatic areas of the agency including:

**Managing the Agency:** Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, and documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

**Managing Human Resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# **Analysis of Record Keeping System and Records Appraisal of the Tennessee Valley Exhibit Commission**

## **Agency Record Keeping System**

The Tennessee Valley Exhibit Commission operates a hybrid record keeping system composed of paper and electronic records.

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the Tennessee Valley Exhibit Commission: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the commission are discussed below.

- **Construction Project Files.** These records are created/maintained to document the review and approval of the design and construction of the facility. Contained within the project files are project comment letters, architect's agreements and statements, contractor's estimates and contracts, inspection reports, change orders, budgets, and other documents required for project submittal and approval.

**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Agency Administrative Policies and Procedures.** These manuals are designed by the agency to assist in the conduct of day-to-day operations. The manuals contain rules and regulations governing personnel, work time, leave, travel, training, and detailed operating procedures for the programs. This series documents the agency's role in prescribing standards and procedures for its operation. (RDA 3-3) **(Bibliographic Title: Administrative Policies and Procedures )**
- **Commission Meeting Minutes.** The minutes of the commission provide documentation of actions of the commission as voted on during the meetings. They document policy and rule making, as well as procedural changes within the agency. These records are part of the core administrative documentation of the agency. (RDA 3-3) **(Bibliographic Title: Meeting Minutes )**

## Creating Exhibits

- **Records of the Nature Center.** These records document such activities as the design and layout of exhibits, information on the animals housed, educational and promotional material, and summary records of receipts, taxes, permits, usage, and inventories. Because the commission has plans to increase the educational focus of the nature center, it is recommended that all records that document the activities relating to the nature center be maintained. Once the commission has had a chance to fully implement its plans, it is recommended these records be reappraised. (RDA 3-3)

## Establishing a Site

- **Feasibility Study.** Completed in 1987, this study demonstrates the economic feasibility of establishing the site in the current location. This study justifies the cost of erecting the building. (RDA 3-3) **(Bibliographic Title: Economic Feasibility Study )**
- **Economic Impact Study.** This study was completed by the University of North Alabama in 1988 and shows the importance of the building and operations to the local community and what role it will play in the local economy. This record combined with the feasibility study justifies the expense of establishing the site and fulfilling this part of the agency's mandate. (RDA 3-3) **(Bibliographic Title: Economic Impact Study )**

## Issuing Bonds

**Bond Documentation Files.** These records contain the official statement, specimen bond, and a manual registry of bondholders for each bond issue. Together with the Bond Transcripts, they furnish a complete record of a bond issue. (RDA 3-3) **(Bibliographic Title: Bond Documentation Files)**

**Bond Transcripts.** These are bound volumes which contain the history and supporting documentation for each bond issue. In addition to providing evidence of the issuance of the bonds, they often provide useful information about the agency's economic condition. (RDA 3-3) **(Bibliographic Title: Bond Transcripts )**

## Administering Internal Operations

- **Administrative Correspondence.** These records include correspondence with state officials, legal/advisory opinion correspondence, correspondence between the commission and the director and correspondence between the commission and other state and federal agencies. These records document the commission's policies and procedures and the commission's interaction with other agencies. (RDA 3-3) **(Bibliographic Title: Administrative Correspondence)**

- **Informational and Promotional Materials.** From time to time the agency produces pamphlets, brochures, and newsletters designed to promote the activities of the agency and to provide information about the agency to the general public. These records show how the agency interacts with the public and provides information about particular activities of the agency. (RDA 3-4) **(Bibliographic Title: Informational and Promotional Material )**



## **Permanent Records List Tennessee Valley Exhibit Commission**

### **Promulgating Rules and Regulations**

1. Agency Administrative Policies and Procedures
2. Commission Meeting Minutes

### **Creating Exhibits**

- \*1. Records of the Nature Center

### **Establishing a Site**

1. Feasibility Study
2. Economic Impact Study

### **Issuing Bonds**

1. Bond Documentation Files
2. Bond Transcripts

### **Administering Internal Operations**

1. Administrative Correspondence
2. Informational and Promotional Materials

\* indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff if available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# Tennessee Valley Exhibit Commission Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the staff of the Tennessee Valley Exhibit Commission. The RDA lists records created and maintained by the Tennessee Valley Exhibit Commission in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for Tennessee Valley Exhibit Commission to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under the Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

## Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Tennessee Valley Exhibit Commission's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDA's of other agencies.
- Certain other records-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of, without notice of destruction, in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received

that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Tennessee Valley Exhibit Commission and lists the groups of records created and/or maintained by the commission as a result of activities and transactions performed in carrying out these subfunctions. The commission may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **■ Promulgating Rules and Regulations**

AGENCY ADMINISTRATIVE POLICIES AND PROCEDURES

Disposition: PERMANENT RECORD.

Commission Meeting Notices

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

COMMISSION MEETING MINUTES

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

### **■ Creating Exhibits**

Gift Shop Operation Records (includes receipts, cash reports, monthly budget reports, guest registers, and resale inventories)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

RECORDS OF THE NATURE CENTER (all nature center records not listed above, including records of the design and layout of exhibits, information on the animals housed, educational and promotional material, and summary records of all nature center activities listed above)

Disposition: PERMANENT RECORD.

## ■ **Establishing a Site**

FEASIBILITY STUDY

Disposition: PERMANENT RECORD.

ECONOMIC IMPACT STUDY

Disposition: PERMANENT RECORD.

Construction Project Files

Disposition: Temporary Record. Retain 3 years after the fiscal year in which the property is sold.

## ■ **Issuing Bonds**

BOND DOCUMENTATION FILES

Disposition: PERMANENT RECORD.

BOND TRANSCRIPTS

Disposition: PERMANENT RECORD.

Bond Principal and Interest Payments

Disposition: Temporary Record. Retain 6 years after issue is fully paid.

Bond Indebtedness Files

Disposition: Temporary Record. Retain 6 years after issue is fully paid.

Debt Service Schedule

Disposition: Temporary Record. Retain for useful life.

Legal Case Files

Disposition: Temporary Record. Retain 6 years after the case is closed.

## ■ **Administering Internal Operations**

### **Managing the Agency:**

ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

INFORMATIONAL AND PROMOTIONAL MATERIALS

Disposition: PERMANENT RECORD.

Commission Appointment Letters

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Records documenting the implementation of the agency's RDA ( copies of transmittal forms to Archives or State Records Center, destruction notices, annual reports to ADAH)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copy of Approved RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency.

**Managing Finances:**

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury, including bank statements, deposit slips, cancelled checks, etc.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property.

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created

**Managing Human Resources:**

Job Recruitment Materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials (including rejected applications)

Disposition: Temporary Record. Retain 1 year.

Equal Opportunity Employment Commission Files

Disposition: Temporary Record. Retain 3 years.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting an employee's work history, generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of the employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting final leave status (cumulative leave)

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information - Retain until superseded.

Other (applications, correspondence) - 6 years after separation of employee from agency.

State Employees Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

**Managing Properties, Facilities, and Resources:**

Semiannual Inventory Lists

Disposition: Retain in office (Code of Alabama 1975, Section 36-16-8[1]).

Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Ownership Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property was sold.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain for 6 years after the termination of the lease or rental agreement.

Facilities/Buildings Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Equipment Maintenance Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is sold or replaced.

Facilities/Buildings Inspection Records

Disposition: Temporary Record. Retain 5 years and until settlement of any claims due.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership. Most agencies will not have these records.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

## Approval of Records Disposition Authority

By signing this agreement the Tennessee Valley Exhibit Commission acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Tennessee Valley Exhibit Commission will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the commission, for coordinating the transfer and destruction of records, for ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, for submitting an annual report on records management activities to the State Records Commission in April of each year, and for ensuring the regular implementation of the commission's approved RDA.
- Permanent records in the Tennessee Valley Exhibit Commission custody will be maintained under proper intellectual control, and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis-- for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The commission should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the commission chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Tennessee Valley Exhibit Commission agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the commission and to inspect records destruction documentation. Government Records Division archivists are available to train the commission staff in RDA implementation and otherwise assist the commission in implementing its records management program.



This records disposition authority is hereby adopted.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Debbie Wilson, Executive Director  
Tennessee Valley Exhibit Commission

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Edwin C. Bridges, Chairman  
State Records Commission